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Patent Docket P1467R2

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of  Camellia W. Adams et al.  Serial No.: 09/602,812  Filed: June 23, 2000  For: Humanized Anti-ErbB2 Antibodies and Treatment with Anti-ErbB2 Antibodies	Group Art Unit: 1642  Examiner: Anne Holleran  Confirmation No: 9612  CUSTOMER NO: 09157  Express Mail No. EV 351 924 586 US  November <u>5</u> , 2004  <u>Anna Kan</u> Anna Kan
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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants submit herewith patents, publications or other information (attached hereto and listed on the attached revised Form PTO-1449) of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR §1.56.

This Information Disclosure Statement is filed in accordance with the provisions of:

☐ **37 CFR §1.97(b)**

- within three months of the filing date of the application other than a continued prosecution application under 37 CFR §1.53(d); **or**
- within three months of the date of entry of the national stage of a PCT application as set forth in 37 CFR §1.491, **or**
- before the mailing of the first Office action on the merits; **or**
- before the mailing of the first Office action after the filing of a request for a continued examination under 37 CFR §1.114.

☒ **37 CFR §1.97(c)**

- by the applicant after the period specified in 37 CFR §1.97(b), but prior to the mailing date of any of a final action under 37 CFR §1.113, or a notice of allowance under 37 CFR §1.311, or an action that otherwise closes prosecution in the application, and is accompanied by either the fee set forth in 37 CFR §1.17(p) **or** a statement as specified in 37 CFR §1.97(e), as

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checked below.

☐ **37 CFR §1.97(d)**

- after the period specified in CFR §1.97(c), and is accompanied by the fee set forth in 37 CFR §1.17(p) **and** a statement as specified in 37 CFR §1.97(e), as checked below.

(If either of boxes 37 CFR §1.97(c) or 37 CFR §1.97(d) is checked above, the following statement under 37 CFR §1.97(e) may need to be completed.)

- ☐ **37 CFR §1.97(e)** Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.
- ☐ **37 CFR §1.704(d)** Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and the communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of this information disclosure statement. Therefore, in accordance with the provisions of 37 CFR §1.704(d), the filing of this information disclosure statement will not be considered a failure to engage in reasonable efforts to conclude prosecution under 37 CFR §1.704.
- ☒ The U.S. Patent and Trademark Office is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$180.00 to cover the cost of this Information Disclosure Statement under 37 CFR §1.17(p). Any deficiency or overpayment should be charged or credited to this deposit account.

A list of the patent(s) and/or publication(s) is set forth on the attached revised Form PTO-1449 (Modified).

A copy of the items on PTO-1449 is supplied herewith.

Those patent(s) or publication(s) which are marked with an asterisk (\*) in the attached PTO-1449 form are not supplied because **a)** ☐ they were previously cited by or submitted to the Office in a prior application Serial No. , filed and relied upon in this application for an earlier filing date under 35 USC §120 **and/ or** because **b)** ☐ this application was filed after June 30, 2003. Applicants are no longer required to submit copies of U.S. patents and U.S. patent application publications cited in information disclosure statements for all U.S. national patent applications filed after June 30, 2003 and for all international applications that have entered the national stage under 35 USC §371 after June 30, 2003 (**1276 OG 55**). Nevertheless, applicants stand ready to provide copies at the request

of the Examiner.

☐ BLAST results enclosed:

The undersigned also wishes to bring to the attention of the Examiner BLAST results of computerized alignments of the against sequences contained in the nucleotide and protein databases. The BLAST results are provided in paper form and are identified as reference "BLAST Results A-1- A-0" (nucleotide) and "BLAST Results B-1 - B-0" (protein) on the PTO Form 1449. Applicant requests that these references also be considered and that the Form 1449 be initialed to indicate the Examiner's consideration of the references.

A concise explanation of relevance of the items listed on PTO-1449 is:

☒ not given

☐ given for each listed item

☐ given for only non-English language listed item(s) (Required)

☐ in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references.

In accordance with 37 CFR § 1.97(g), the filing of this information disclosure statement shall not be construed as a representation that a search has been made.

In accordance with 37 CFR § 1.97(h), the filing of this information disclosure statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 CFR § 1.56(b).

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR 1.16 and 1.17 for this Information Disclosure Statement, or credit overpayment to Deposit Account No. 07-0630. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

GENENTECH, INC.

Date: November 5, 2004

By: Wm Lee

Wendy Lee

Reg. No. 40,378

Telephone No. (650) 225-1994

FORM PTO-1449

U.S. Dept. of Commerce  
Patent and Trademark OfficeAtty Docket No.  
P1467R2Serial No.  
09/602,812

## LIST OF DISCLOSURES CITED BY APPLICANT

(Use several sheets if necessary)

Applicant

Adams et al.

Filing Date

23 Jun 2000

Group

1642

## U.S. PATENT DOCUMENTS

Examiner Initials	Document Number	Date	Name	Class	Subclass	Filing Date
	311	2002/0141993	03.10.02	Ashkenazi et al.		
	312	2002/0192211	19.12.02	Hudziak et al.		
	313	2003/0059790	27.03.03	Jaffee et al.		
	314	2003/0152987	14.08.03	Cohen et al.		
	315	5,648,237	15.07.97	Carter, P.		
	316	6,127,526	03.10.00	Blank		
	317	6,214,388	10.04.01	Benz et al.		
	318	6,267,958	31.07.01	Andya et al.		
	319	6,333,169 B1	25.12.01	Hudziak et al.		
	320	6,333,398	25.12.01	Blank		
	321	6,339,142	15.01.02	Basey et al.		
	322	6,387,371 B1	14.05.02	Hudziak et al		
	323	6,399,063 B1	04.06.02	Hudziak et al		
	324	6,407,213	18.06.02	Carter et al.		
	325	6,417,335	09.07.02	Basey et al.		
	326	6,489,447	03.12.02	Basey et al.		
	327	6,627,196	30.09.03	Baughman et al.		
	328	6,685,940 B2	03.02.04	Andya et al.		
	329	6,719,971	13.04.04	Carter et al.		
	330	6,797,814	28.09.04	Blank, G.		
	331	6,800,738	05.10.04	Carter et al.		

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Document Number	Date	Country	Class	Subclass	Translation Yes No
	332	WO 01/00245	04.01.01	PCT		

Examiner

Date Considered

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.